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| APPLICATION NO. | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
|-----------------|-------------|----------------------|---------------------|------------------|
| 09/558,920      | 04/26/2000  | DAVID REGAN          | AND1P576            | 1724             |

29838 7590 04/20/2006

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| EXAMINER |
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FISCHER, ANDREW J

| ART UNIT | PAPER NUMBER |
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3627

DATE MAILED: 04/20/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

**Office Action Summary**

Application No.

09/558,920

Applicant(s)

REGAN, DAVID

Examiner

Andrew J. Fischer

Art Unit

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 08 2/9/06.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 19-36 and 46-75 is/are pending in the application.
- 4a) Of the above claim(s) 46-75 is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 19-36 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- |  |   |
|--|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892)   | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)   | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)             |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)<br>Paper No(s)/Mail Date <u>Jan 6, 2006</u> | 6) <input type="checkbox"/> Other: _____  |

## **DETAILED ACTION**

### ***Acknowledgements***

1. Applicant's amendment filed July 8, 2005 is acknowledged. Accordingly, claims 19-36 and 46-75 remain pending. Claims 46-75 are withdrawn.
2. All references in this Office Action to the capitalized versions of "Applicant" refers specifically the Applicant of record. References to lower case versions of "applicant" or "applicants" refers to any or all patent "applicants." Unless expressly noted otherwise, references to "Examiner" in this Office Action refers to the Examiner of record while reference to or use of the lower case version of "examiner" or "examiners" refers to examiner(s) generally.
3. This Office Action is written in OACS. Because of this, the Examiner is unable to control formatting, paragraph numbering, font, spelling, line spacing, and/or other word processing issues. The Examiner sincerely apologies for these errors.

### ***Claim Rejections - 35 USC §102***

4. The following is a quotation of the appropriate paragraphs of 35 U.S.C. §102 that form the basis for the rejections under this section made in this Office Action:

A person shall be entitled to a patent unless –

(a) the invention was known or used by others in this country, or patented or described in a printed publication in this or a foreign country, before the invention thereof by the applicant for a patent.

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States. . . .

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

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5. Claims 19-36 are rejected under 35 U.S.C. §102(b) as being anticipated by Quicken and its 'Turbotax for the Web.' The Examiner relies on two press release documents (See document nos. 14 and 17 in the Information Disclosure Statement ("IDS") initialed by the Examiner on February 9, 2004. This IDS was part of Paper No. 11.) 'Turbotax for the Web' inherently discloses the claimed features including storing user profiles (*e.g.* the user's name and address as shown in the preprinted label), the passwords, and other features.

6. It is the Examiner's factual determination that prior to the critical date of this applicant the U.S. Internal Revenue Service ("IRS") provided to taxpayers tax forms with pre-printed labels. Evidence to support this includes but is not limited to Rankin's IRS Gets In Holiday Spirit, Delays Tax Forms ("Rankin"); and Prime Financial New Year's Resolutions: Hire a Good Financial Planner, Stick to a Good Investment Strategy.

7. It is the Examiner's factual determination that prior to the critical date of this application, 'Turbotax for the Web' stores the taxpayer's return on secure servers and allows taxpayer to file electronically. See Arar, Yardena's TaxCut TurboTax Offer More; TaxSaver Falls Short.

8. It is the Examiner factual determination that electronic receipts are old and well known in the art. See *e.g.* Tognazzini (U.S. 5,739,512); Petrie, Jr. et. al. (U.S. 5,509,071); Robinson (U.S. 5,915,022); Ogasawara (U.S. 6,327,576 B1); Gressel et. al. (U.S. 6,609,141 B1); and Herman et. al. (U.S. 6,341,343). Like paper receipts, electronic receipts are needed when particular electronic events involve money. In addition to electronic receipts, it is the Examiner factual determination that it is old and well known in the art to send automated messages in response to particular event(s) to various individuals, entities, processes, and/or locations. The events may include purchases or submission of data. Such automated messages may be sent via email, fax, voice mail, text message See *e.g.* Frazier (U.S. 6,829,333 B1) C3, L50-67. See also Fisher et. al.

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(U.S. 6,047,264); Janow (6,061,570); Hirsch (U.S. 5,978,799); Guck (U.S. 5,911,776); Linstead et. al. (U.S. 5,548,753); and Cohen (U.S. 4,837,798). Such messaging keeps the user apprised of the status of events.

9. Claims 19-36 are rejected under 35 U.S.C. §102(b) based upon a public use or sale of the invention. See 'Turbotax for the Web' and documents. Moreover, it is the Examiner's position that the TurboTax for the Web has all the tax related features found in the stand alone version of TurboTax. See the TurboTax User's Guide.

10. Claims 19-36 are rejected under 35 U.S.C. §102(e) as being anticipated by Miller (U.S. 6,202,052) and Turbotax (as described in the Turbotax User's Guide).<sup>1</sup> Miller discloses the claimed invention using Turbotax as an automated tax filing system.

### ***Claim Rejections - 35 USC §103***

11. The following is a quotation of 35 U.S.C. §103(a) which forms the basis for all obviousness rejections set forth in this Office Action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

12. Claims 19-36 are alternatively rejected under 35 U.S.C. §103(a) as being unpatentable over Turbotax for the Web.<sup>2</sup> It is the Examiner's principle position that the claims are anticipated because Turbotax for the Web directly or inherently discloses all the claimed features.

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<sup>1</sup> See MPEP §2131.01 III. expressly authorizing multiple reference anticipation rejections under 35 U.S.C. §102.

<sup>2</sup> See MPEP §2112 expressly authorizing alternative §102/§103 rejections when the question of inherency is present in the anticipation rejection.

However if not inherent, it would have been obvious to a person having ordinary skill in the art at the time the invention was made to modify TurboTax for the Web to include the old and well known features as found in the shrink wrapped edition. Since the company has already created the software, it would be obvious to take the same software and features and place such features in its web-based editions.

13. Claims 19-36 are alternatively rejected under 35 U.S.C. §103(a) as being unpatentable over the public use or sale as described in TurboTax for the Web.<sup>3</sup> Again it is the Examiner's principle position that the claims were on because TurboTax for the Web directly or inherently discloses all the claimed features.

However if not inherent, it would have been obvious to a person having ordinary skill in the art at the time the invention was made to modify TurboTax for the Web to include the old and well known features as noted below.

14. Claims 19-36, as understood by the Examiner, are alternatively rejected under 35 U.S.C. §103(a) as being unpatentable over Miller in view of TurboTax.<sup>4</sup> It is the Examiner's principle position that the claims are anticipated because Miller directly discloses the use of TurboTax as the electronic intermediary. See Miller, C6, L30-41.

However a reviewing body finds that MPEP §2131.01 III is incorrect law, (*i.e.* multiple reference rejections under anticipation is not permitted), it would have been obvious to a person

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<sup>3</sup> Id.

<sup>4</sup> Id.

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having ordinary skill in the art at the time the invention was made to modify Miller as taught by Turbotax to perform the steps as expressly authorized in Miller.

15. The patentability of claims 28-36 stands or falls with the patentability of claims 19-27.

16. Because Inventions I and II are not patentably distinct, the patentability of claims 28-36 stands or falls with the patentability of claims 19-27.

17. For due process purposes, the Examiner again confirms that Applicant has decided not to be his own lexicographer by indicating and defining claim limitations to have meanings other than their ordinary and accustomed meanings. See the previous office actions.

18. Unless expressly noted otherwise in this Office Action, the Examiner maintains his positions on claim interpretations including but not limited to his positions on Official Notice, lexicography, and definitions of claim terms. See again the previous office actions.

### ***Response to Arguments***

19. Applicant's arguments filed February 9, 2006 have been fully considered but they are not persuasive.

20. Applicant argues that the prior art does not disclose "electronically storing a record of the filed tax return . . . ." The Examiner respectfully disagrees since all databases store their information in records.

### ***Conclusion***

21. Unless expressly noted otherwise by the Examiner or other USPTO official, the following four (4) citations to the Manual of Patent Examining Procedure ("MPEP") apply to this Office Action *and* any future office action(s), communication(s), or other correspondence

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provided by the USPTO: MPEP citations to Chapter 2300 are from the MPEP 8<sup>th</sup> Edition, Rev. 4, October 2005; citations to Chapters 200-900, 1200-1400, and 1700-1900, 2100, 2200, 2600 are from the MPEP 8<sup>th</sup> Edition, Rev. 3, August 2005. MPEP citations to Chapters 100, 1000, 1100, 1500, 2000, 2500, and 2700 are from the MPEP 8<sup>th</sup> Edition, Rev. 2, May 2004. MPEP citations to Chapters 1600, 2300, 2400 are from MPEP 8<sup>th</sup> Edition, August 2001.

22. Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

23. Any inquiry concerning this communication or earlier communications from the Examiner should be directed to Andrew J. Fischer whose telephone number is (571) 272-6779.

24. If attempts to reach the Examiner by telephone are unsuccessful, the Examiner's supervisor, Alexander Kalinowski can be reached on (571) 272-6771. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.



Andrew J Fischer  
Primary Examiner  
Art Unit 3627